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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/578,037 Confirmation No. : 5332
First Named Inventor : David DILLON
Filed : May 2, 2006
TC/A.U. :
Examiner : Not Yet Assigned

Docket No. : 102980.58649US2
Customer No. : 23911

Title : Authentication and Tracking System

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 AND 1.98**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO-1449 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

I. Time Period of Submission

This Information Disclosure Statement is submitted:

☒ 1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later) or 3) before a first Office Action after the filing of a Request for Continued Examination, and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

☐ 2) after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

☐ a Statement under 37 C.F.R. § 1.97(e); or

☐ a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

☐ 3) after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

II. Statement Under 37 C.F.R. § 1.97(e)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

☐ I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; or

III. Statement under 37 C.F.R. § 1.704(d)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

IV. Submission of Non-English Language Documents

☒ The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO-1449:

☐ The relevance of document(s) _____ to the subject matter of the present invention is/are provided in the specification of the above-identified application.

☐ Corresponding foreign or international report(s) citing document(s) _____, together with an English-language version(s) (if not already in English) of that portion of the report(s) indicating the degree of relevance found by the foreign office(s) is/are submitted.

☐ English language family member publication(s) of document(s) _____ is/are noted on Form PTO-1449.

☒ English language abstract(s) is/are submitted for document(s) DR, DS, DU, DV, and DW.

☐ English translation(s) of the foreign language document(s) _____ is/are submitted herewith.

☐ Applicant submits the following explanations:
_____.

V. Continuations/Divisionals

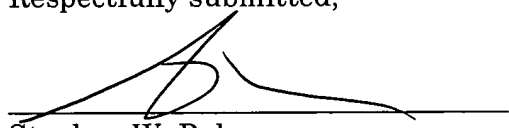
☐ Documents _____ were of record in parent application Serial No. _____, filed _____, and _____, filed _____, from which this application claims benefit. As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously submitted to or cited by the United States Patent and Trademark Office in the afore-mentioned parent applications.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

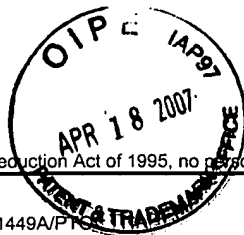
If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 102980.58649US2, for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

April 18, 2007


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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known	
			Application Number	10/578,037
			Filing Date	May 2, 2006
			First Named Inventor	David DILLON
			Art Unit	3627
			Examiner Name	Not Yet Assigned
Sheet 1 of 5	Attorney Docket Number	102980.58649US2		

U.S. PATENT DOCUMENTS						
Examiner Initials'	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
	CA	US- 3,833,795		09-03-1974	Shoshani et al.	
	CB	US- 4,463,250		07-31-1984	McNeight et al.	
	CC	US- 4,629,873		12-16-1986	Stockburger et al.	
	CD	US- 4,686,515		08-11-1987	Anderson et al.	
	CE	US- 4,816,824		03-28-1989	Katz et al.	
	CF	US- 5,418,855		05-23-1995	Liang et al.	
	CG	US- 5,592,561		01-07-1997	Moore	
	CH	US- 5,367,148		11-22-1994	Storch et al.	
	CI	US- 2007/0023513	A1	02-01-2007	Andreasson et al.	
	CJ	US- 2007/0012784	A1	01-18-2007	Mercolino	
	CK	US- 2006/0255130	A1	11-16-2006	Whewell et al.	
	CL	US- 2006/0181397	A1	08-17-2006	Limbachiya	
	CM	US- 2006/0174129	A1	08-03-2006	Brignone et al.	
	CN	US-2006/0054682	A1	03-16-2006	de la Huerga	
	CO	US-2006/0022799	A1	02-02-2006	Juels	

FOREIGN PATENT DOCUMENTS							
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ <i>(if known)</i>					
	DR	WO 2006/098659 A2		09-21-2006	Karimov		Abstract
	DS	JP2005301556		10-27-2005	NEC Engineering Ltd.		Abstract
	DT	WO 2005/083644 A1		09-09-2005	Stikker.com BV		
	DU	WO 2005/036504 A1		04-21-2005	Sata Farbspritztechnik Gmbh & Co. KG		Abstract

Examiner Signature	Date Considered
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Examiner Name	Not Yet Assigned				
Sheet	2	of	5	Attorney Docket Number	102980.58649US2

U.S. PATENT DOCUMENTS						
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		Number-Kind Code ² (if known)				
	CP	US- 2005/0264001	A1	12-01-2005	Kerns et al.	
	CQ	US- 2005/0151617	A1	07-14-2005	Nakazawa	
	CR	US- 2004/0205343	A1	10-14-2004	Forth et al.	
	CS	US- 2003/0179902	A1	09-25-2003	Ambrogio et al.	
	CT	US- 6,802,447	B2	10-12-2004	Hornig	
	CU	US- 6,547,137	B1	04-15-2003	Begelfer et al.	
	CV	US- 6,212,638	B1	04-03-2001	Lee et al.	
	CW	US- 2003/0164401	A1	09-04-2003	Andreasson et al.	
	CX	US- 7,175,081	B2	02-13-2007	Andreasson et al.	
	CY	US- 6,935,560	B2	08-30-2005	Andreasson et al.	
	CZ	US- 7,038,766	B2	05-02-2006	Kerns et al.	
	DA	US- 2002/0122878	A1	09-05-2002	Kerns et al.	
	DB	US-2007/0012783	A1	01-18-2007	Mercolino	
	DC	US- 7,042,335	B2	05-09-2006	Franks	
	DD	US- 6,533,180	B1	03-18-2003	Wood	
	DE	US- 6,681,214	B1	01-20-2004	Doljack	

FOREIGN PATENT DOCUMENTS						
Examiner Initials'	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	DV	JP2004342066	12-02-2004	Fast Accurate Developments Ltd.		Abstract
	DW	DE010155780A1	05-22-2003	Vision Tools Hard Und Software DE		Abstract

Examiner Signature		Date Considered	
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				Filing Date	May 2, 2006	
				First Named Inventor	David DILLON	
				Art Unit	3627	
Examiner Name	Not Yet Assigned					
Attorney Docket Number	102980.58649US2					
Sheet	3	of	5			

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		Number-Kind Code ² (if known)				
	DF	US- 6,871,789	B2	03-29-2005	Hilton et al.	
	DG	US- 6,788,800	B1	09-07-2004	Carr et al.	
	DH	US- 2005/0261938	A1	11-24-2005	Silverbrook et al.	
	DI	US- 2005/0261937	A1	11-24-2005	Silverbrook et al.	
	DJ	US- 2005/0261935	A1	11-24-2005	Silverbrook et al.	
	DK	US- 7,097,098	B2	08-29-2006	Roberts	
	DL	US- 2006/0175401	A1	08-10-2006	Roberts	
	DM	US- 2004/0086117	A1	05-06-2004	Petersen et al.	
	DN	US- 6,788,800	B1	09-07-2004	Carr et al.	
	DO	US- 2004/0172537	A1	09-02-2004	Baus et al.	
	DP	US- 6,358,607	B1	03-19-2002	Grotzner et al.	
	DQ	US- 2006/0237547	A1	10-26-2006	Barenburg et al.	

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Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
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			Filing Date	May 2, 2006	
			First Named Inventor	David DILLON	
			Art Unit	3627	
			Examiner Name	Not Yet Assigned	
Sheet	4	of	5	Attorney Docket Number	102980.58649US2

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²	
	DX	RANASIGHE, Damith C., et al., "Confronting Security and Privacy Threats in Modern RFID Systems", The University of Adelaide Auto-ID Lab, Pp. 1-7.		
	DY	STAAKE, Thorsten, et al., "Flagship Project Anti-Counterfeiting & Secure Supply Chain", Auto-ID Labs White Paper WP-PP-001, Pp. 1-40.		
	DZ	DUC, Dang Nguyen, et al., "Enhancing Security of EPCGlobal Gen-2 RFD Tag Against Traceability and Cloning", 2006 symposium on Cryptography and Information Security, Hiroshima, Japan, January 17-20, 2006, Pp. 1-6.		
	EA	DUC, Dan Nguyen, et al., "Enhancing Security of EPCGlobal Gen-2 RFID Tag Against Traceability and Cloning", Auto-ID Labs White Paper WP-SWNET-016, Pp. 1-11.		
	EB	"Supply Chain Applications of RFID - Product Packaging", ISO/TC 122/104/JWG N 05040, ISO/DIS 17366, Pp. 1-20.		
	EC	LAINE, S., "Product Authentication with Low-Cost RFID Tags," Pp. 1-9.		
	ED	MENEZES et al., Handbook of Applied Cryptography, 1997, p. 175.		
	EE	SCHNEIER, Bruce, Applied Cryptography: Protocols, Algorithms and Source Code in C, 10/95, pp. 44-45.		
	EF	CHEN, L., et al., "Key Escrow in Mutually Mistrusting Domains," Proceedings of Security Protocols, Mark Lomas (ed.), International Workshop, Cambridge, U.K., (Apr. 10-12, 1996).		
	EG	SALOMAA, Arto, "Public Key Cryptography," Chptr. 1, 2 nd ed., Springer, (1996).		

Examiner Signature		Date Considered	
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		Filing Date	May 2, 2006		
		First Named Inventor	David DILLON		
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		Examiner Name	Not Yet Assigned		
Sheet	5	of	5	Attorney Docket Number	102980.58649US2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	EH	SCHNEIER, Bruce, "Applied Cryptography, Protocols, Algorithms, and Source Code in C," Chptrs. 1, 2, 11, 17, 18, 2 nd ed., John Wiley & Sons, Inc. (1996).	
	EI	SIMONDS, Fred "Network Security, Data and Voice Communications," Chptrs. 10, 12, McGraw-Hill, (1996).	
	EJ	GUSTAFSON, H.M., et al., "Randomness Measures Related to Subject Occurrence," Proceedings of Cryptography: Policy and Algorithms, Ed Dawson, and Jovan Golic (eds.), Brisbane, Queensland, Australia, (Jul. 3-5, 1995).	
	EK	BAKHTIARI, S., et al., "Keyed Hash Functions," Proceedings of Cryptography: Policy and Algorithms, Ed Dawson and Jovan Golic (eds.), Brisbane, Queensland, Australia, pp. 201-214 (Jul. 3-5, 1995).	
	EL	LEE, S., et al., "Conditional Correlation Attack on Nonlinear Filter Generators," Proceedings of Advances in Cryptology-ASIACRYPT '96, Kwangjo Kim and Tsutomu Matsumoto (eds.) (Nov. 3-7, 1996).	
	EM	JOHNSTON, R., Vulnerability Assessment Team, Los Alamos National Laboratory, An Anti-Counterfeiting Strategy Using Numeric Tokens, LAUR-04-8055, Pp. 1-21	

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